

STANDARD OPERATING PROCEDURE (SOP)
UW Oshkosh Office of Sponsored Programs (OSP)

SOP Number: 4
Effective Date: 3/1/18
Last Reviewed: 03/09/2023

Title:
Principal Investigator Status

OSP Contact Information

Business Hours: 8:00 a.m. to 4:30 p.m., Monday-Friday (excluding holidays).

Main: 920-424-3215

E-mail: OSP@uwosh.edu

Website: uwosh.edu/sponsoredprograms

I. Overview

This document outlines the eligibility status for **Principal Investigators (PI)** for research activities conducted under the auspices of a grant or research agreement at UW Oshkosh or in off-campus facilities owned or operated by UW Oshkosh. The term 'Principal Investigator' is used to identify the individual who holds primary responsibility for ensuring a grant project (i.e. sponsored program) is conducted according to the approved scope of work. **Sponsored Programs** are defined as a project or activity originated by an individual meeting PI status requirements and who are funded completely or in part by restricted external funds. Individuals holding PI status have the responsibility of both project oversight and leading the scientific and technical endeavors of the project. In addition, the PI is directly responsible for ensuring compliance with financial and administrative requirements of the award until closeout.

II. Applicability

This procedure was originally created as a policy for the UW Oshkosh Institutional Review Board (IRB). The procedure, as modified for grant administration, outlines the eligibility of various job classifications to be considered Principal Investigator (PI) status. Only those job classifications listed below may be considered for PI status under external grant funding without formal documented approval from the Provost and ensuring the sponsors submission requirements allow that job classification to serve as PI.

III. Procedure:

A. Individuals seeking Principal Investigator (PI) status at UW Oshkosh must hold an official employee contract with UW Oshkosh and must be categorized into one of the following job classifications:

1. Faculty members of any rank
2. Academic Staff members
3. Visiting faculty/scientist faculty during the time that they draw salary support for the performance of a sponsored project through the University.

B. The following individuals may be eligible to serve as a Co-Principal Investigator alongside an individual who meets the requirement for a PI on a project listed in Category A above:

1. Adjunct or Emeritus Faculty who do not have a contract of employment.
2. Post-doctoral students
3. University Staff determined to be qualified by UW Oshkosh to conduct activities indicated in the proposal or under the award terms.
4. Collaborating faculty/scientist who have provided a Letter of Support from their institution.

C. The following individuals may serve as Other Personnel on UW Oshkosh sponsored projects, in addition to individuals listed in categories A & B above:

1. Undergraduate and graduate students
2. Volunteers not affiliated with UW Oshkosh who have completed a Volunteer Agreement Form.

Individuals planning to serve as volunteers on a sponsored project will ensure they have completed a Volunteer Agreement Form through UW Oshkosh. Volunteers not receiving salary, wages or stipend should not be listed in the grant proposal budget. Instead, these unpaid individuals can be listed in the Facilities, Equipment and Other Resources document, or equivalent, section of the grant proposal to show proposed in-kind contributions.

III. Guidance Documents/Policy Links

IV. Templates/Forms

V. Definitions

VI. Contact Information: For questions or comments please contact OSP@uwosh.edu or 920-424-3215

VII. Revision History:

Created: 03/01/18

Revised: 02/14/19, 04/22/2021, 02/01/2022, 03/09/2023